



Department of Housing



**The State of Connecticut
Department of Housing**

Request for Proposals

**Administration of the
Energy Conservation Loan Program and Multi-family Energy
Conservation Loan Program**

Key Dates:

Questions Due: Wednesday, September 25, 2013

RFP Submission Deadline: Monday, October 14, 2013

Contract Announcement: Thursday, November 14, 2013

REQUEST FOR PROPOSALS
Energy Conservation Loan Program Administration

I. STATEMENT OF OBJECTIVES

Pursuant to this Request for Proposals (RFP), the State of Connecticut Department of Housing (DOH) is seeking proposals from entities prepared to administer the Energy Conservation Loan Program and the Multifamily Energy Conservation Loan Program, together the ECL Program. This program provides financing at below market rates to family and multi-family residential property owners for the purchase and installation of cost-saving energy conservation improvements.

II. SCOPE OF WORK

The scope of work includes the following:

A. Loan Origination:

1. **Marketing/Advertising:** The ECL Program Administrator (the Administrator) makes diligent efforts to publicize the ECL program through all appropriate electronic and print media and direct outreach.
2. **Application Intake:** The loan application will be prepared by the Administrator, subject to review and approval by DOH. The Administrator will distribute the application to all interested potential applicants. A completed application includes: complete application form (signed by all titleholders); two most recent tax returns with all schedules and copies of all supporting documents.
3. **Loan Processing:** The Administrator reviews the application(s) submitted by applicants. If materials are missing from an application, the Administrator will communicate to the applicant in writing requesting the additional items needed and takes reasonable additional steps to assist applicants with the completion of the application.
4. **Financial Underwriting:** The Administrator runs an initial credit report and underwrites the completed application to determine what financial assistance can be offered in conformance with program regulations, if any.
5. **Technical Assistance:** The Administrator will notify in writing qualified applicants what items are needed to close the proposed financing. Applicants that are not eligible will be notified in writing of the reason for their denial.
6. **Commitment Letter:** The Administrator will send a commitment letter to qualified applicants. The commitment shall stipulate the amount and the terms of the loan.
7. **Closing:**
 - a) The Administrator will prepare all necessary loan documents and the form of each to be submitted to DOH for approval in advance.
 - b) The Administrator will include the loan number on all recordable documents and clearly identify the lien holder as the State of Connecticut and the program as the "Energy Conservation Loan Program."
 - c) The state reserves the right to amend the form of loan documents used from time to time.

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- d) The Administrator will collect a payment from the borrower for any recording fees.
 - e) The Administrator will create an electronic copy of all loan documents (original file and closing documents).
 - f) The Administrator will forward the original file and closing documents and an electronic copy thereof to the DOH within 5 business days of the loan closing.
 - g) Administrator will forward all recorded documents to DOH upon receipt from the respective municipality.
 - h) The Administrator will ensure that all loan documents submitted to the municipality are recorded.
8. **Disbursement of Funds:** The Administrator will disburse the funds to the borrower in accordance with the loan documents.

B: Loan Servicing:

Loan servicing will include, but not be limited to, all activities necessary and desirable to perform all loan servicing under the loan documents and ensure the timely processing of payments made by each borrower, including but not limited to: billing, late notices, collection, custody, accounting and transmission of funds received and/or payable to DOH. Without limiting the generality of the foregoing, the following services are required:

- 1) The Administrator will provide continuous loan servicing for each loan made under the ECL Program until the interest and principal due under each such loan are paid in full or otherwise forgiven, until termination of the Administrator's contract.
- 2) The Administrator shall establish procedures to maximize collection of loan payments and submission of notifications to delinquent applicants.
- 3) The Administrator shall provide delinquency counseling to delinquent borrowers.
- 4) The Administrator will continue to service individual loans that are more than 120 days delinquent. However, for loans that are more than 120 days delinquent, the Administrator will cease collection efforts, charging and/or collecting servicing fees and will notify DOH that the loan is deemed uncollectable. The uncollectable loan must be maintained on the Administrator's books until DOH provides notice to the Administrator otherwise. The Administrator will provide a detailed report of the loan and when appropriate, DOH will reduce the Administrator's receivable by the amount of uncollectable principal balance.
- 5) At meetings between DOH staff and the appropriate staff from the Administrator, held monthly or less frequently at DOH's discretion less frequently, the Administrator will present a report on all delinquent loans, actions taken with respect to such loans and other related matters.
- 6) The Administrator's collection efforts will include sending a "soft" letter after 30 days of delinquency, a "hard" letter after 60 days of delinquency and a "delinquency" letter after 90 days. The loan may be deemed uncollectible after 120 days, unless DOH requires the Administrator to continue collection efforts.

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- 7) The Administrator, in consultation with DOH, will review requests, for short sales or other loan modifications and will make recommendations to DOH with respect to such requests. DOH will make the decision for approval or disapproval of each such request.
- 8) At DOH's request, the Administrator shall provide the loan status of one or more ECL Program loans to DOH
- 9) The Administrator is responsible for maintaining a complete set of loan documents for the term of the loan (e.g. recorded agreement showing agreement date, loan note and other key loan documents) and will obtain copies of documents from land record offices as needed/requested by DOH at no additional cost to DOH.
- 10) The Administrator is responsible for maintaining copies of all available loan documents for existing ECL Program loans and for obtaining information/documentation from previous loan servicers, and or municipalities whenever requested.
- 11) The Administrator will maintain records pertaining to each ECL Program loan in a form satisfactory to DOH. Upon termination of its contract, the Administrator shall deliver all records and files relating to the ECL Program to DOH or a third party designated by DOH in an electronic file data format.
- 12) **For Requests for Releases:** Within 10 business days of final payment, the following documents are required:
 - a) Proof of payment (electronic or, copy of check)
 - b) Copy of loan history
 - c) Copy of payoff letter
 - d) Copy of third party letter (if applicable)
 - e) Copy of recorded agreement and loan note
 - f) Other documentation required by DOH
- 13) **For Subordinations:** The Administrator shall submit to DOH, no later than 15 business days prior to the borrower's new financing closing, all documentation necessary to demonstrate the terms of the new financing, the identity of the new lender and the good status of the ECL Program loan, including the lien agreement, note and current loan balance.

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C: Reporting:

On a monthly basis the Administrator shall submit the following reports to the State:

- 1) Activity Reports
- 2) ECL Program loans closed and committed report
- 3) Summary of the number of applications received and rejected
- 4) Work completion status report
- 5) ECL Program Expenditure Account Transaction
- 6) A full and complete accounting of all monies collected from all the ECL Program borrowers. The report shall indicate the portion of funds collected for principal and interest and the amount of interest earned on the account.

D: Audit Procedures: The Administrator will facilitate the performance of the following audit activities annually by the State or a third party designated by the State:

- 1) Review ECL Program policies and general operational guidelines as outlined in CGS 16a-40c, 32-315-318, 321b-lf and 32-5 to determine the appropriate policies and procedures to be followed by the Administrator. Compare procedures as to agreement with the State general statutes.
- 2) Review 5 ECL Program loans that were rejected to verify proper execution and documentation of origination by either the State or a third party approved by the State.
- 3) Review 5 ECL Program loans approved to verify proper execution and documentation of origination, closing and disbursement processes including addition to the loan servicing system.
- 4) Review 10 ECL Program loans being serviced to verify timeliness of collection, recording of monthly payments and late notices.
- 5) Review 6 days of ECL receipts to trace the accuracy and timeliness of receipt of loan repayments to the date of deposit in the bank statement.
- 6) Review 3 months of bank and account activity to trace the accuracy of interest earned from the ECL Program as shown on the Administrator's bank statements to the check(s) remitted to DOH.
- 7) Review 3 months of reports given to DOH and verify that one hundred percent (100%) of all ECL Program payments received by the Administrator on behalf of the State during the previous month were properly reported and paid.
- 8) Review 3 ECL Program loans that are 31 or more days delinquent to determine if delinquency counseling is being provided in accordance with the established content and format as established jointly by DOH and the Administrator.

E: Customer Service: In the course of the Administrator's performance of the services described above, the Administrator shall at all times demonstrate the highest standard of customer service.

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Term:

The contract shall be effective for a period of three years commencing approximately December 1, 2013. The State shall have no obligation for costs incurred outside the contract period.

Subject to authorization the by applicable legislation and approval of the State Bond Commission, up to \$5 million/year may be available for lending and related administrative fees under the ECL Program.

III. AWARD CRITERIA

All proposals will be evaluated using the following criteria:

1. Experience and Capacity (30%) – Provide an overview of the respondent and the qualifications of staff providing the proposed scope of services, including resumes of key staff. Identify the number of new staff hires, if any, that will be made in the event a contract is awarded under this RFP, and the engagement of any subcontractors. Identify similar services provided by the respondent and its subcontractors, if any, and describe how that experience directly increases the capacity of the respondent to undertake the scope of work described herein.
2. Marketing of Service Availability (15%) – Provide a description of the statewide marketing plan intended to notify potential clients of the availability of the proposed scope of work. Respondents are encouraged to be creative and innovative.
3. Timeliness to Initiate Service Provision (15%) – Provide a project plan with timelines showing when the respondent can begin providing the proposed scope of work. Include timelines relative to new hiring including anticipated posting of position availability, interviewing and initial hiring date(s).
4. Budget (30%) – Provide a budget consisting of the following components:
 - A. Loan Origination
 - B. Loan Servicing, Reporting, Audit ProceduresLine items should include the following:
 - The cost of performing the proposed scope of work outlined in A and B.
 - All sources for all necessary funding, including the funding under this RFP.
 - The loan origination fee to which the Administrator would be entitled for each loan it originates and the monthly administrative fee it would require to perform all other portions of the scope of work described herein.
5. Training (5%) – Provide a description, including a timetable, for training of new hire(s), if any, as well as existing staff training programs, necessary to provide the required services.
6. Minority/Women Owned Business (5%) – DOH encourages all entities to make a good faith effort to hire and/or utilize veterans, minority- and women-owned businesses. Indicate what efforts the respondent will make in this area relative to any new hires or in the selection of subcontractors.

Proposals submitted in response to this RFP will be evaluated based the quality and the reasonableness of the responses for each item above.

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IV. EVALUATION PROCESS

A screening committee consisting of DOH staff will review all proposals. If at least three qualified proposals are received, the screening committee will evaluate the proposals based on the weighted award criteria described above and submit its evaluation to the Commissioner. The Commissioner shall decide which respondent(s) DOH will seek to negotiate and ultimately contract with, if any.

V. PROPOSAL FORMAT

Proposals should be submitted as follows:

1. One (1) complete original clearly marked "**ORIGINAL**", with all required materials having original signatures, where applicable;
2. Three (3) copies, with all required materials; and
3. All materials must be bound (3 ring binders, etc.) and tabbed by section and placed in the same order as they are referenced in the proposal. Each tabbed section must include all relevant materials for that section, including proposal materials.

VI. INSTRUCTIONS

1. Completed proposals and all materials must be hand delivered or mailed via a nationally-recognized overnight carrier to: Maritza Delgadillo, DOH, 505 Hudson Street, 2nd Floor, Hartford, CT 06106-7106. **All proposals must be received at DOH on or before 4:00 p.m. on October 14, 2013.**
2. Any proposal received after the established deadline will not be considered.
3. All responses to this **Request for Proposals** must conform to these instructions. Failure to conform may be considered appropriate cause for rejection of the response.
4. An individual authorized to act on behalf of the respondent must submit the proposal. The proposal must also provide the name, title, address and telephone number for individuals authorized to negotiate and contractually bind the organization, and for those who may be contacted for the purpose of clarifying the information provided in the proposal. This information should also be included in the transmittal letter.

VII. QUESTIONS

All questions related to this RFP should be submitted to Dominic Carew by e-mail at Dominic.carew@ct.gov no later than noon (EST) on Wednesday, September 25, 2013. Each question should begin by referencing the RFP page number and section number to which it relates. Answers to all questions received by the deadline above will be posted on DOH's website on a rolling basis at www.ct.gov/doh.

VIII. REVISIONS TO THE RFP

Only written modifications to this RFP issued in the form of one or more addenda will be considered to be alterations to this RFP. Oral comments are not binding. An Addendum may be issued by DOH for any revisions, modifications, clarifications or alterations to the RFP.

IX. ERRORS

If a respondent discovers an error after submitting its response, but prior to the response submission deadline, the respondent may request that the response be withdrawn. This request must be submitted in writing and signed by an officer or authorized representative of the firm. If the request is approved, the respondent may submit a revised response as long as it is received prior to the response submission deadline.

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No alterations or corrections to the responses are permitted after the responses are opened. If an error is discovered after the response opening but before contract award, the respondent may request that its response be withdrawn. An officer or authorized representative of the firm must submit this request in writing. The decision to permit withdrawal of the response will be at the discretion of the Commissioner.

X. SUBCONTRACTING OR ASSIGNMENT

In the event a respondent proposes to subcontract for some or all of the services to be performed under the terms of the contract award, it shall state so in its proposal and attach for approval a list of said subcontractors and an itemization of the products and/or services to be supplied by them. Nothing contained in the specifications shall be construed as creating any contractual relationship between any such subcontractor and DOH.

Except as expressly proposed by a respondent in its proposal, the agreement to be entered into between the respondent selected under this RFP, if any, and DOH, may not be subcontracted or assigned by the respondent, in whole or in part, without the prior written consent of DOH. Such consent, if granted, shall not relieve the respondent its responsibilities under the contract, except as otherwise expressly provided therein.

XI. RIGHT TO INSPECT FACILITIES AND RECORDS

DOH reserves the right to inspect the respondent's establishment before making an award, for the purposes of ascertaining whether the respondent has the capacity to perform the proposed scope of service.

DOH may request references during the evaluation, and such references may be contacted to assist DOH in making a contract award that is most advantageous to DOH.

XII. CONDITIONS

Any prospective Administrator must be willing to adhere to the following conditions and must positively certify to adhere to them in its proposal:

1. **Acceptances or Rejection by the State.** The State reserves the right to accept or reject any or all proposals submitted for consideration under this RFP.
2. **Conformance with Statutes.** Any contract awarded as a result of this RFP must be in full conformance with statutory requirements of the State of Connecticut and the Federal Government.
3. **Ownership of Proposals.** All materials are considered public information with the exception of personal and financial information. Following the execution of one or more contracts in connection with this RFP, proposals will be available for review upon request. All proposals in response to this RFP will be the sole property of the State and subject to the provisions of Connecticut's Freedom of Information Act, CGS §1-200 et seq.
4. **Ownership of Subsequent Products.** Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this RFP will be sole property of the State unless stated otherwise in the contract.
5. **Timing and Sequence.** Timing and sequence of events resulting from this RFP will ultimately be determined by the State.
6. **Stability of Proposed Prices.** Any price offerings must be valid for a period of 90 days from the due date of the proposals.
7. **Oral Agreements.** No contract, unless it shall be in writing, executed by an authorized representative of DOH following the obtaining of all necessary approvals and in

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accordance with all applicable law, shall be binding on DOH. No oral agreement or arrangement made with DOH or any DOH employee shall be binding on DOH.

8. **Amending or Canceling Requests.** The State reserves the right to amend or cancel this RFP.
9. **Rejection for Default or Misrepresentation.** The State reserves the right to reject any proposal if any proposed subcontractor is in the default of any prior contract with the state or for any misrepresentation.
10. **State's Clerical Errors in Awards.** The State reserves the right to correct inaccurate awards resulting from its clerical errors.
11. **Rejection of Qualified Proposals.** Proposals are subject to rejection in whole or in part if they limit or modify any of the terms, conditions and/or specifications of this RFP.
12. **Presentation of Supporting Evidence.** Any respondent, if requested, must be prepared to present evidence of experience, ability, service capacity, and financial standing.
13. **Changes to Proposal.** Except as otherwise permitted by DOH, no additions or changes to a proposal will be allowed after submittal.
14. **Collusion.** By responding, the respondent implicitly states that its proposal is not made in connection with any competing respondent submitting a separate response to this RFP, and is in all respects fair and without collusion or fraud. It is further implied that the respondent did not participate in the RFP development process, had no knowledge of the specific contents of the RFP prior to its issuance, and that no employee of DOH participated directly or indirectly in the respondent's proposal preparation.
15. **EEO-4 Form.** The proposal shall include a copy of the company's latest EEO-4 report as well as a copy the respondent's equal employment policy statement.

XIII. CONFLICT OF DOCUMENTS

Should any of the terms of any documents connected to the offer, acceptance, supply of goods, performance of services, and/or any verbal representations be in conflict with this RFP, the terms of the RFP shall supersede all other documents and/or verbal representations. The only exception would be if DOH amends this RFP.

XIV. SEVERABILITY

The invalidity of any portion of this RFP will not and shall not be deemed to affect the validity of any other provision. In the event that any provision of this RFP is held to be invalid, the parties agree that the remaining provisions shall be deemed to be in full force and effect as if they had been executed by both parties subsequent to the expungement of the invalid provision.

XV. RIGHTS RESERVED BY THE STATE

DOH reserves the right to modify or waive any requirement, condition or other term set forth in this RFP, to request additional information at any time from one or more respondents, to select any number of proposals submitted in response to the RFP or to reject any or all such proposals.

XVI. NOTIFICATION OF AWARD

The selected respondent(s), if any, will receive a Notice of Award. The Notice may contain certain contingency requirements that must be satisfied within a designated time frame. Failure to comply with all provisions of the Notice of Award will disqualify that respondent and the award may be directed to another respondent.

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XVII. PRICE AND PAYMENT

1. Unless otherwise noted by DOH, all salaries and other budgetary information quoted shall be firm through execution of a contract and shall not be subject to increase during the period of such contract, unless agreed upon by both parties in writing. The Commissioner must be notified in writing of any price reduction within five (5) business days of the effective date.
2. As the compensation contemplated under this RFP includes both a fee based on performance and a fixed monthly fee, payment will be made both in the form of quarterly advances based upon anticipated expenditures when equivalent funds can't be deducted from loan repayment proceeds and on a periodic basis based on demonstrated performance metrics. DOH will pay for services actually provided, as verified by periodic financial statements, and programmatic reports and updates.

RESPONDENT INFORMATION

Name: _____

Address: _____

Contact Person: _____

Title: _____

Telephone Number: _____ Fax Number: _____

E-Mail Address: _____ Website Address: _____

FEIN No: _____ State Sales Tax No: _____

If you are using a **THIRD PARTY** to write this proposal, please provide the following:

Consultant/Company Name: _____

Address: _____

Phone Number: _____ Fax Number: _____

E-Mail Address: _____ Website Address: _____

NARRATIVE DESCRIPTION OF SERVICES TO BE PROVIDED

- 2.1. Provide up to a 2-page description of the proposed activity. **See Section II Award Criteria, Item 6. Attach as Exhibit 2.1.**

QUALIFICATIONS AND CAPACITY

- 3.1. Describe the nature of your organization, staffing and overall qualifications to perform and complete the Scope of Work. **See Section III Award Criteria, Item 1. Attach as Exhibit 3.1.**
- 3.2. Please identify any relevant past experience of your organization that demonstrates its fitness to perform the proposed scope of work, including a description of the experience(s), timeframe in which the prior work was completed, special skills associated with performing that work and any other relevant information. **See Section III Award Criteria, Item 1. Attach as Exhibit 3.2.**
- 3.3. Provide a description of the statewide marketing plan intended to notify potential clients of the availability of the ECL Program. **See Section III Award Criteria, Item 2. Attach as Exhibit 3.3.**

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- 3.4. Please provide a signed copy of CHRO “Notification to Responders” form and information addressing (a) through (e) on the form. **Attach as Exhibit 3.4.**
- 3.5. Please provide a copy of your Equal Employment Opportunity Policy Statement. **Attach as Exhibit 3.5.**
- 3.6. Please attach the last three years’ audited financial statements (include notes and projections). If audited statements do not exist, attach last three years’ federal tax returns. **Attach as Exhibit 3.6.**
- 3.7. Please attach certificate(s) of insurance showing the current coverage. **Attach as Exhibit 3.7.**
- 3.8. **Is the respondent, any principal or any affiliate of the respondent is a defendant of the respondent in any litigation?** ☐ YES ☐ NO
If yes, indicate the nature and status of the litigation. **Attach as Exhibit 3.8.**

TIMELINESS TO COMPLETE WORK

- 4.1 Please indicate timeframes expected to initiate the provision of services as well as when any necessary hiring will be initiated and when the project will be fully staffed. **See Section III Award Criteria, Item 3. Attach statement as Exhibit 4.1.**
- 4.2 Provide a description, including a timetable, for training of new hire(s), if any, as well as existing staff training programs, necessary to provide the required services. **See Section III Award Criteria, Item 5. Attach as Exhibit 4.2.**

PROPOSED BUDGET

- 5.1 As the compensation contemplated under this RFP includes both a fee based on performance and a fixed monthly fee, payment will be made both in the form of quarterly advances based upon anticipated expenditures when equivalent funds can’t be deducted from loan repayment proceeds and on a periodic basis based on demonstrated performance metrics. **See Section III Award Criteria, Item 4. Attach budget for the provision of the scope of work (and indicate the desired fee amount per loan originated and the additional monthly administrative fee desired to perform the remainder of the scope of work) as Exhibit 5.1.**

MINORITY/WOMEN OWNED BUSINESS

- 6.1 Please indicate if your organization is a minority, women or veteran owned business by completing Exhibit B, if applicable. Note: DOH encourages all entities to make a good faith effort to utilize small, minority, women and veteran owned businesses. **See Section III Award Criteria, Item 7. Attach completed form as Exhibit 6.1.**
- 6.2 Please attach the respondent's equal employment policy statement as **Exhibit 6.2.**

SUBCONTRACTOR CERTIFICATION FORM

- 7.1 Please complete the Subcontractor Certification form, Exhibit C, if applicable. **Attach statement as Exhibit 7.1.**

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RESPONDENT CERTIFICATION

It is hereby represented by the respondent (undersigned) as an inducement to DOH to consider the proposal, that to the best of my knowledge and belief, no information or data contained in the proposal or in the attachments are in any way false or incorrect, and that no material information has been omitted, including the financial statements. The respondent (undersigned) agrees that banks, credit agencies, the Connecticut Department of Labor, the Connecticut Department of Revenue Services, and other references are hereby authorized now, or any time in the future, to give DOH of any and all information in connection with matters referred to in this proposal.

Certifying Representative:

1. Type Name and Title: _____

2. Signature: _____

3. Date: _____

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EXHIBIT B (3.4)

NOTIFICATION TO RESPONDERS

The contract to be awarded is subject to contract compliance requirements mandated by Sections 4a-60 and 4a-60a of the Connecticut General Statutes; and, when the awarding agency is the State, Sections 46a-71(d) and 46a-81i(d) of the Connecticut General Statutes. There are Contract Compliance Regulations codified at Section 46a-68j-21 through 43 of the Regulations of Connecticut State Agencies, which establish a procedure for awarding all contracts covered by Sections 4a-60 and 46a-71(d) of the Connecticut General Statutes.

According to Section 46a-68j-30(9) of the Contract Compliance Regulations, every agency awarding a contract subject to the contract compliance requirements has an obligation to “aggressively solicit the participation of legitimate minority business enterprises as responders, contractors, subcontractors and suppliers of materials.” “Minority business enterprise” is defined in Section 4a-60 of the Connecticut General Statutes as a business wherein fifty-one percent or more of the capital stock, or assets belong to a person or persons: “(1) Who are active in daily affairs of the enterprise; (2) who have the power to direct the management and policies of the enterprise; and (3) who are members of a minority, as such term is defined in subsection (a) of Section 32-9n.” “Minority” groups are defined in Section 32-9n of the Connecticut General Statutes as “(1) Black Americans . . . (2) Hispanic Americans . . . (3) persons who have origins in the Iberian Peninsula . . . (4) Women . . . (5) Asian Pacific Americans and Pacific Islanders; (6) American Indians . . .” An individual with a disability is also a minority business enterprise as provided by Section 32-9e of the Connecticut General Statutes. The above definitions apply to the contract compliance requirements by virtue of Section 46a-68j-21(11) of the Contract Compliance Regulations.

The awarding agency will consider the following factors when reviewing the responder’s qualifications under the contract compliance requirements:

- (a) The responder’s success in implementing an affirmative action plan;
- (b) The responder’s success in developing an apprenticeship program complying with Sections 46a-68-1 to 46a-68-17 of the Connecticut General Statutes, inclusive;
- (c) The responder’s promise to develop and implement a successful affirmative action plan;
- (d) The responder’s submission of employment statistics contained in the “Employment Information Form”, indicating that the composition of its workforce is at or near parity when compared to the racial and sexual composition of the workforce in the relevant labor market area; and
- (e) The responder’s promise to set aside a portion of the contract for legitimate minority business enterprises. See Section 46a-68j-30(10)(E) of the Contract Compliance Regulations.

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The undersigned acknowledges receiving and reading a copy of the "Notification to Responder's form.

*** INSTRUCTION: responder must sign acknowledgement below, and return acknowledgment to DOH along with response proposal.**

Signature

Date

On behalf of:

RFP Name: _____

CERTIFICATE OF CORPORATION

I, _____ certify that I am the Secretary of the Corporation named in the foregoing instrument; that I have been duly authorized to affix the seal of the Corporation to such papers as require the seal; that _____, who signed said instrument on behalf of the Corporation was then _____ of said Corporation; that said instrument was duly signed for and in behalf of said Corporation by authority of its governing body and is within the scope of its Corporation powers.

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EXHIBIT B (6.1)

MINORITY/WOMEN/VETERAN-OWNED BUSINESS CERTIFICATION

Complete Legal Name of Business: _____

Headquarters

Address: _____

Town: _____ State: _____ Zip Code: _____

Mailing Address (if different) _____

Town: _____ State: _____ Zip Code: _____

Does your firm meet the following definition of a minority business enterprise (MBE)?

☐ YES

☐ NO

A minority business enterprise (MBE) is defined as: A small business with at least 51% ownership by one or more minority person(s)* who exercise operational authority over the daily affairs of the business, has the power to direct the management, policies and receives beneficial interests of the business.

* Who is considered a minority? A person(s) who is Black, Hispanic, Asian, American Indian, has origins in the Iberian Peninsula, a woman, and an individual with a disability according to the Americans with Disabilities Act - see program information for more detail.

Date Business was first established: ____/____/____ Total Number of employees _____

Type of Business (**Check only one**)

___ Sole Proprietorship

Date Established ____/____/____

___ General Partnership

Date of Partnership ____/____/____

___ Limited Liability Partnership

Date of Partnership ____/____/____

___ Corporation

Date of Incorporation ____/____/____

___ Limited Liability Company (LLC)

Date of LLC ____/____/____

Number of years company has been owned and managed by present owner: _____

Identify the Principal(s) and/or Officer(s) of the company:

Name(s) of Present Principals/Titles

% of Ownership

Please identify the category under which certification of your business enterprise is minority owned, woman-owned, veteran-owned or owned by a person(s) with a disability. Select one or more of the following categories:

A minority is a person who is a citizen or lawful permanent resident of the United States and who is included in one of the following categories:

<u>Minority Category</u>	<u>Gender</u>	<u>% of Ownership</u>
___ Black American	M / F	_____ %
___ Hispanic American	M / F	_____ %
___ Iberian Peninsula	M / F	_____ %
___ Asian American	M / F	_____ %
___ American Indians	M / F	_____ %
___ Individual w/ a disability	M / F	_____ %
___ Woman (circle below)	M / F	_____ %
___ Veteran (circle below)	M / F	_____ %

White > Black > Hispanic > Iberian Peninsula > Asian > American Indian

“The undersigned swears the forgoing statements are true and correct and including all material information necessary to identify and explain the operations of _____ as well as the ownership thereof.”

Signature: _____

Title: _____

Date: _____

Corporate Seal (where appropriate)

REQUEST FOR PROPOSALSS
Investigative Research

EXHIBIT C (7.1)

SUBCONTRACTOR CERTIFICATION

It is hereby represented by the Subcontractor (undersigned) as an inducement to the Department of Housing to consider the participation as requested herein, that to the best of my knowledge and belief, no information or data contained in the application or in the attachments are in any way false or incorrect, and that no material information has been omitted, including the financial statements. It is also hereby stated that the undersigned will comply with all program requirements for any approved activity and that the organization and its principals are not suspended or debarred as defined in 24 CFR part 5 Subpart A of the Code of Federal Regulations. The undersigned agrees that banks, credit agencies, the Connecticut Department of Labor, the Connecticut Department of Revenue Services, the Connecticut Department of Environmental Protection, and other references are hereby authorized now, or any time in the future, to give the Department of Housing any and all information in connection with matters referred to in this response.

Certifying Representative

Type Name and Title: _____

Signature: _____

Date: _____